

Patent  
Attorney Docket No. 018940-023

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Szuping LU, et al

Application No. 10/602,888

Filed: June 25, 2003

For: GLYCIDYL (METH) ACRYLATE  
POWDER COATING  
COMPOSITIONS CONTAINING  
CAPROLACTONE-DERIVED  
SIDE CHAINS

) ATTENTION: FRANK LEBRON  
REFUNDS MANAGER

) Group Art Unit: 1762

) Examiner: Unassigned

**REQUEST FOR REFUND**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Pursuant to 37 C.F.R. Sections 1.26(b), Applicants respectfully request a refund in the amount of \$46.00 in connection with the above-identified application.

In this regard, Applicants note that the total filing fees due upon the filing of the application on June 25, 2003, were **\$888.00**, including \$750.00 for the basic filing fee, \$54.00 for three additional claims over 20, and \$84.00 for one additional independent claim. For reference, a copy of the Application Transmittal Letter and postcard are attached. A check in the amount of **\$880.00** was submitted with the filing of the application (a copy of which is also attached), leaving a balance due of **\$8.00**.

Applicants received a Notice to File Missing Parts of the Application, indicating that \$130 surcharge for the filing the executed declaration was due and additional claim fees of **\$18**

were due, for a total of **\$148**. For reference, a copy of the Notice to File Missing Parts is attached. The Notice to File Missing Parts indicated that additional fees of **\$18** for 3 total claims over 20 were due.

With the Response to the Notice to File Missing Parts of the Application, Applicants submitted a Communication (a copy of which is attached) explaining that a balance of **\$8** was due rather than **\$18**, as set forth above. Accordingly, with the Response to the Notice to File Missing Parts, Applicants requested that **\$138**, rather than **\$148**, be charged to the deposit account.

However, as shown on the deposit account statement (a copy of which is attached) the undersigned Deposit Account No. 02-4800 was charged **\$130.00** plus an additional **\$54.00** (for 3 additional claims over **\$20.00**).

As set forth above, Applicants owed an outstanding balance of **\$130 plus \$8**; however, the undersigned Deposit Account No. 02-4800 was charged **\$130.00 plus an additional \$54.00**. According, Applicants request a refund in the amount of **\$46.00** (i.e., **\$54 - \$8**) be made to Deposit Account No. 02-4800.

As set forth above, copies of the Application Transmittal Letter and the postcard date-stamped by the U. S. Patent and Trademark Office evidencing receipt of the application fees; the Notice to File Missing Parts, the Communication submitted with the Response to Missing Parts, and the pertinent page of the December 2003 Deposit Account Statement indicating the erroneous charge are attached. further enclosed is a duplicate copy of this paper.

Attorney's Docket No. 018940-023  
Application No. 10/602,888  
Page 3

If any additional information is needed in order to affect the requested \$46 credit to the above Deposit Account No. 02-4800, the Office is requested to contact the undersigned by telephone.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS

By: Melissa M. Hayworth  
Melissa M. Hayworth  
Registration No. 45,774

Post Office Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Date: January 28, 2005



**COPY**

New Patent Application Postcard

Inventor: Szuping LU et al.

Appn. No.: Unassigned

Docket No.: 018940-023

Working Atty.: Melissa M. Hayworth / kib

Date: June 25, 2003

Title: GLYCIDYL (METH)ACRYLATE POWDER COATING COMPOSITIONS CONTAINING CAPROLACTONE-DERIVED SIDE CHAINS

Dkt. Clerk Initials

10

The following was/were received in the U.S. Patent and Trademark Office on the date stamped hereon:

- Utility Patent Application Transmittal
- Design Patent Application Transmittal
- Continuing Prosecution Application Request
- Continuing/Divisional Application (Rule 1.53(b)) with copy of application
- Request for Continued Examination

INCLUDING:

- Specification (pages 1 - 29 )
- Claims (claims(s) 1 - 23 , 5 pgs.)
- Drawings (Fig(s). 1 - 7 , 4 pgs.)
- Abstract of the Disclosure

- Executed Declaration/Power of Attorney
- Unexecuted Declaration/Power of Attorney
- Assignment/Assignment Recordation Form Cover Sheet (PTO-1595)
- Claim for Convention Priority w/ \_\_\_\_\_ certified copy(s)
- Preliminary Amendment
- Information Disclosure Statement Transmittal
- Information Disclosure Citation (PTO-1449)
- Information Disclosure Statement w/ \_\_\_\_\_ document(s)
- Petition for \_\_\_\_\_ Month Extension of Time
- Gen. Authorization for Petition for Ext. of Time and Pymt. of Fees
- Patent Application Data Sheet

- Check for \$ 880.00 is enclosed
- Check for \$ \_\_\_\_\_ is enclosed
- Charge \$ \_\_\_\_\_ to Deposit Account

- 
- 
- 
- 

If submitting documents via Express Mail, provide the Express Mailing Label No. below:

Express Mail Mailing Label No.



28

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT  
APPLICATION TRANSMITTAL LETTER

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450



21839

Sir:

**COPY**



Enclosed for filing is the utility patent application entitled:

GLYCIDYL (METH)ACRYLATE POWDER COATING COMPOSITIONS CONTAINING  
CAPROLACTONE-DERIVED SIDE CHAINS

by the following named inventor(s):

Szuping LU and Rahul HILLA

- Applicant(s) hereby requests that the above-captioned application NOT BE PUBLISHED under 35 U.S.C. § 122(b) and 37 C.F.R. § 1.211. The undersigned hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.
- Applicant(s) suggests Figure 1 for inclusion on the front page of the patent application publication and patent.
- Applicant(s) requests that the published application include the following assignment information:  
\_\_\_\_\_  
\_\_\_\_\_
- Small entity status is claimed.

Also enclosed are:

DRAWINGS: 4 sheets of formal drawings \_\_\_\_\_ sheets of informal drawings

DECLARATION:  will follow  executed, is enclosed  unexecuted, is enclosed

ASSIGNMENT:  is enclosed  will follow

**BURNS DOANE**

BURNS DOANE SWECKER & MATHIS LLP  
ATTORNEYS AT LAW

UTILITY PATENT APPLICATION  
TRANSMITTAL LETTER

CLAIM FOR  is made in the declaration  is hereby made as follows dd-mm-yy  
 PRIORITY UNDER  is hereby made as follows dd-mm-yy  
 35 U.S.C. § 119  
 and/or 365: Country: Appl. No.: Filing Date:  
 certified copy(ies) enclosed  certified copy(ies) will follow

OTHER PAPERS:  a General Authorization for Petitions for Extensions of Time and Payment of Fees  
 an Information Disclosure Statement  
 an Application Data Sheet (ADS)

Please amend the specification by inserting before the first line one of the following sentence (an executed declaration referencing this amendment is enclosed or will follow):

--This application claims priority under 35 U.S.C. §§ 119 and/or 365 to \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_; the entire content of which is hereby incorporated by reference.--

--This application claims priority under 35 U.S.C. § 119 to U.S. Provisional Application No. \_\_\_\_\_, filed on \_\_\_\_\_, the entire content of which is hereby incorporated by reference.--

--This application is a continuation of International Application No. \_\_\_\_\_, filed on \_\_\_\_\_, the entire content of which is hereby incorporated by reference.--

The filing fee has been calculated as follows  and in accordance with the enclosed preliminary amendment:

CLAIMS					
	No. of Claims		Extra Claims	Rate	Fee
Basic Application Fee (10 01)					\$ 750.00
Total Claims	23	MINUS 20 =	3	x \$18.00 (1202) =	\$ 54.00
Independent Claims	4	MINUS 3 =	1	x \$84.00 (1201) =	\$ 84.00
If multiple dependent claims are presented, add \$280.00 (1203)					\$ 888.00
Total Application Fee					\$ 0.00
<input type="checkbox"/> Sma II Entity Status claimed - subtract 50% of Total Application Fee					
Add Assignment Recording Fee of \$40.00 (8021) if Assignment document is enclosed.					
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$ 888.00</b>

This application is being filed without a filing fee. Issuance of a Notice to File Missing Parts of Application is respectfully requested.

Charge \_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.

A check in the amount of \$ 888.00 is enclosed for the fee due.

The Director is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Please address all correspondence concerning this application to:

Burns, Doane, Swecker & Mathis, L.L.P.  
P.O. Box 1404  
Alexandria, Virginia 22313-1404

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Filed: Jun 25, 2003

By

Melissa M. Hayworth

Melissa M. Hayworth

Registration No. 45,774



United States  
Patent and  
Trademark Office

Lisa Martin



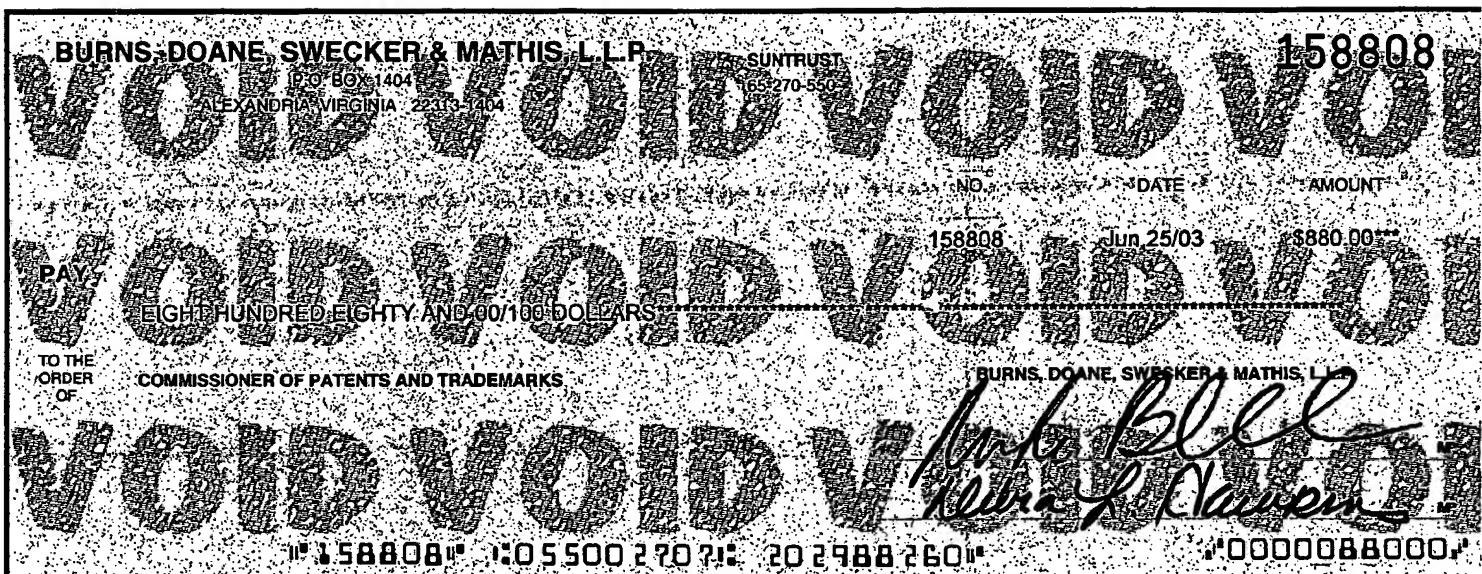
Deposit Account Statement

Requested Statement Month: December 2003  
 Deposit Account Number: 024800  
 Name: BURNS DOANE SWECKER & MATHIS  
 Attention: DEBRA HAWKINS  
 Address: P.O. BOX 1404  
 City: ALEXANDRIA  
 State: VA  
 Zip: 22313-1404

DATE	SEQ	POSTING REF	ATTORNEY DOCKET NBR	FEES CODE	AMT	BAL
12/01	12	09852758	033275-215	1255	\$2,010.00	\$47,632.51
12/01	13	09852758	033275-215	1801	\$770.00	\$46,862.51
12/01	30	10720184	033818-025	1203	\$290.00	\$46,572.51
12/01	64	0122160830	032566011PAM	8014	\$50.00	\$46,522.51
12/01	79	10622742	040072-217	8021	\$40.00	\$46,482.51
12/01	404	76265164	024444-940	7004	\$150.00	\$46,332.51
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12/02	17	10336811	006450-399	1252	-\$410.00	\$46,307.51
12/02	18	60524760	033859-034	2005	\$80.00	\$46,227.51
12/02	24	09471409	024705-095	1251	-\$110.00	\$46,337.51
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12/02	102	09971913	032781-016	1253	\$950.00	\$44,672.51
12/03	2	09740927	003510-069	1254	\$1,060.00	\$43,612.51
12/03	2	10221739	019219-020	1203	\$290.00	\$43,322.51
12/03	4	09787549		1251	\$110.00	\$43,212.51
12/03	8	09312700		9204	-\$504.00	\$43,716.51
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12/03	143	10478775	025219-441	8021	\$40.00	\$40,806.51

## Deposit Account Statement

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12/17	194	60511635	040072-275	8021	\$40.00	\$80,853.51
12/17	195	10250454	032404-069	8021	\$40.00	\$80,813.51
12/17	196	10650963	032487-006	8021	\$40.00	\$80,773.51
12/17	197	10650836	032487-009	8021	\$40.00	\$80,733.51
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12/17	199	10141177	033209-002	8021	\$40.00	\$80,653.51
12/17	206	10625624	015291-112	1051	\$130.00	\$80,523.51
12/17	217	10232517	026350-078	2501	\$665.00	\$79,858.51
12/17	218	10232517	026350-078	1504	\$300.00	\$79,558.51
12/17	220	10602888	018940-023	1051	\$130.00	\$79,428.51
12/17	221	10602888	018940-023	1202	\$54.00	\$79,374.51
12/17	227	09840726		2501	\$665.00	\$78,709.51
12/17	228	09840726		8001	\$30.00	\$78,679.51
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12/17	237	10250454	032404-069	8021	\$40.00	\$78,509.51
12/17	329	PCT/US03/39561	033019-146	1601	\$240.00	\$78,269.51
12/17	330	PCT/US03/39561	033019-146	1602	\$700.00	\$77,569.51
12/17	331	PCT/US03/39561	033019-146	1701	\$328.00	\$77,241.51
12/17	332	PCT/US03/39561	033019-146	1707	\$520.00	\$76,721.51
12/17	333	PCT/US03/39561	033019-146	8007	\$20.00	\$76,701.51
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12/17	500	78341700	030828-046	7001	\$335.00	\$76,166.51
12/17	528	10480531	027557-095	1613	\$920.00	\$75,246.51
12/17	529	10480531	027557-095	1615	\$198.00	\$75,048.51
12/17	530	10480531	027557-095	1614	\$172.00	\$74,876.51
12/17	559	10480456	003301-102	1611	\$1,080.00	\$73,796.51
12/17	560	10480456	003301-102	1615	\$720.00	\$73,076.51
12/17	561	10480456	003301-102	1614	\$602.00	\$72,474.51
12/18	4	10735881	015290-770	1001	\$770.00	\$71,704.51
12/18	5	10735881	015290-770	1202	\$18.00	\$71,686.51
12/18	7	10480475	027651-210	1613	\$920.00	\$70,766.51
12/18	8	10480475	027651-210	8021	\$40.00	\$70,726.51
12/18	12	10735894	030681-610	1001	\$770.00	\$69,956.51
12/18	13	10735894	030681-610	1201	\$86.00	\$69,870.51
12/18	19	6502147		1811	\$100.00	\$69,770.51
12/18	22	10735911	018775-889	1001	\$770.00	\$69,000.51
12/18	22	10735743	033413-003	1001	\$770.00	\$68,230.51
12/18	30	10735741	030681-609	1001	\$770.00	\$67,460.51
12/18	30	10736666	015290-757	1001	\$770.00	\$66,690.51
12/18	31	10735898	003301-009	2001	\$385.00	\$66,305.51
12/18	31	10735916	017753-183	1001	\$770.00	\$65,535.51





PATENT AND TRADEMARK OFFICE

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06-26-2003

THE PRACTICAL

U. S. ICKENAU

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## ANSWER

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- Alkaline hydrolysis  
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- Strong alkalis  
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UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
CHIEF COMMISSIONER FOR PATENTS  
1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/602,888	06/25/2003	Szuping Lu	018940-023

Burns, Doane, Swecker & Mathis, L.L.P.  
P.O. Box 1404  
Alexandria, VA 22313-1404

CONFIRMATION NO. 2267  
FORMALITIES LETTER



\*OC00000011042149\*

Date Mailed: 10/16/2003

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

**Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

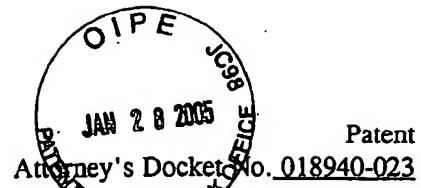
The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1); See Figure(s) 1-7.

**Items Required To Avoid Processing Delays:**

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- Additional claim fees of \$18 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Szuping Lu, et al.

Application No.: 10/602,888

Filed: June 25, 2003

For: GLYCIDYL (METH) ACRYLATE POWDER  
COATING COMPOSITIONS CONTAINING  
CAPROLACTONE-DERIVED SIDE CHAINS

) Group Art Unit: 1762

) Examiner: Unassigned

) Confirmation No.: 2267

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

MAIL STOP MISSING PARTS  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In complete response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(b) dated October 16, 2003, enclosed please find:

a Combined Declaration and Power of Attorney signed by the inventor(s);

Note that the inventor(s) identified on the currently filed Combined Declaration and Power of Attorney is different from those listed on the application filing papers.

the basic filing fee and additional claim fees, if any, in the amount of \$ 8.00;

the surcharge of [ ] \$65.00 (2051)  \$130.00 (1051) as set forth in 37 C.F.R. § 1.16(e);

a Request for Refund;

a Petition for Extension of Time;

a verified English translation of the Application, and the \$130.00 (1053) fee as set forth in 37 C.F.R. § 1.17(k);

an Assignment document and a separate check for the \$40.00 (8021) Assignment recordation fee;

drawings for publication;

IDS;

a certified copy of the priority document;

DOCKETED *CH* (10/03)  
filed 12-15-03

Transmittal Letter for Missing Parts of Application  
Attorney's Docket No. 018940-023  
Application No. 10/602,888  
Page 2

- other 4 sheets of corrected formal drawings, Figs. 1-7; Communication; Part 2 of the Notice to File Missing Parts of Nonprovisional Application. ;
- a check in the amount of \$ \_\_\_\_\_ for the total fee due for missing parts; and
- charge \$ 138.00 to Deposit Account No. 02-4800 for the total fee due for missing parts.
- Small entity status is hereby claimed.

The Director is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,  
BURNS, DOANE, SWECKER & MATHIS, L.L.P.

Date: Dec. 15 2003

By: M.M. Hayworth  
Melissa M. Hayworth  
Registration No. 45,774

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Patent  
Attorney's Docket No. 018940-023

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Szuping Lu et al.

Application No.: 10/602,888

Filed: June 25, 2003

For: GLYCIDYL (METH) ACRYLATE POWDER  
COATING COMPOSITIONS CONTAINING  
CAPROLACTONE-DERIVED SIDE CHAINS

Group Art Unit: 1762

Examiner: Unassigned

Confirmation No.: 2267



COMMUNICATION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(b) mailed October 16, 2003, indicates that additional claim fees are due.

The total fees due with the filing of the application on June 25, 2003, were \$888.00, including \$750.00 for the basic filing fee, \$54.00 for three additional claims over 20, and \$84.00 for one additional independent claim. A check in the amount of \$880.00 was actually submitted with the application, leaving a balance due of \$8.00. We understand, however, that a partial claim payment may not be processed and that \$10.00 is being retained as a credit for this application. As such, we are submitting herewith only \$138.00, rather than the \$148.00 stated as due on the Missing Parts, for the surcharge of \$130.00 and balance due on the additional claim fee of \$8.00.

Please direct any questions you may have regarding this matter to the undersigned.

The Director is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

Date: Dec. 15, 2003

By: M. M. Hayworth  
Melissa M. Hayworth  
Registration No. 45,774

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

DOCKETED *CH3*  
filed 12-15-03 *CH3*  
(10/03)



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/602,888	06/25/2003	Szuping Lu	018940-023

15 2003  
 U.S. PATENT & TRADEMARK OFFICE  
 P.O. Box 1404  
 Alexandria, VA 22313-1404

Bans, Doane, Swecker & Mathis, L.L.P.  
 P.O. Box 1404  
 Alexandria, VA 22313-1404

CONFIRMATION NO. 2267  
 FORMALITIES LETTER  
  
 \*OC000000011042149\*

Date Mailed: 10/16/2003

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The oath or declaration is unsigned.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- o Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1); See Figure(s) 1-7.

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- o Additional claim fees of \$18 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

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